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| FORM PTO-1390 (Modified)<br>(REV 11-2000)  |  | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE |  | ATTORNEY'S DOCKET NUMBER<br><b>220806US6PCT</b>   |  |
| <b>TRANSMITTAL LETTER TO THE UNITED STATES</b><br><b>DESIGNATED/ELECTED OFFICE (DO/EO/US)</b><br><b>CONCERNING A FILING UNDER 35 U.S.C. 371</b>  |  |   |  | U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR<br><div style="text-align: center; font-size: 1.2em; font-weight: bold;">10/088506</div> |  |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/JP01/0606</b>  |  | INTERNATIONAL FILING DATE<br><b>31 July 2001</b>        |  | PRIORITY DATE CLAIMED<br><b>31 July 2000</b>  |  |
| TITLE OF INVENTION<br><b>OPTICAL PICKUP DEVICE AND RECORDING AND/OR REPRODUCING DEVICE</b>   |  |   |  |   |  |
| APPLICANT(S) FOR DO/EO/US<br><b>OSADA Yasuo et al.</b>   |  |   |  |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |   |  |   |  |
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).           <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol> |  |   |  |   |  |
| <b>Items 13 to 20 below concern document(s) or information included:</b>   |  |   |  |   |  |
| <ol style="list-style-type: none"> <li>13. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>22. <input type="checkbox"/> Certificate of Mailing by Express Mail</li> <li>23. <input checked="" type="checkbox"/> Other items or information:           <div style="margin-left: 20px; padding-top: 5px;"> <b>PCT/IB/304</b><br/> <b>PCT/IB/308</b><br/> <b>Form PTO-1449</b><br/> <b>Drawings (11 sheets) / Request for Priority</b> </div> </li> </ol>   |  |   |  |   |  |

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| U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.53) <b>10/08850</b> |  | INTERNATIONAL APPLICATION NO. <b>PCT/JP01/06666</b> |  | ATTORNEY'S DOCKET NUMBER<br><b>220806US6PCT</b> |  |
|--|--|---|--|---|--|

|  |              |              |           |   |    |
|--|--------------|--------------|-----------|---|----|
| 24. The following fees are submitted: <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :</b><br/> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1040.00<br/> <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$890.00<br/> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$740.00<br/> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$710.00<br/> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00<br/> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> </div> |              |              |           | <b>CALCULATIONS PTO USE ONLY</b><br><br><div style="border: 1px solid black; height: 100px; width: 100%;"></div>                      |    |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).  |              |              |           | <div style="border: 1px solid black; padding: 2px;">\$890.00</div> <div style="border: 1px solid black; padding: 2px;">\$130.00</div> |    |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA | RATE      |   |    |
| Total claims   | 35 - 20 =    | 15           | x \$18.00 | \$270.00  |    |
| Independent claims   | 3 - 3 =      | 0            | x \$84.00 | \$0.00  |    |
| Multiple Dependent Claims (check if applicable). <input type="checkbox"/>  |              |              |           | \$0.00  |    |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |              |           | \$1,290.00  |    |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.   |              |              |           | \$0.00  |    |
| <b>SUBTOTAL =</b>  |              |              |           | \$1,290.00  |    |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).  |              |              |           | \$0.00  |    |
| <b>TOTAL NATIONAL FEE =</b>  |              |              |           | \$1,290.00  |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>   |              |              |           | \$0.00  |    |
| <b>TOTAL FEES ENCLOSED =</b>   |              |              |           | \$1,290.00  |    |
|  |              |              |           | Amount to be: refunded  | \$ |
|  |              |              |           | charged   | \$ |

a. ☒ A check in the amount of \$1,290.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.


c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.


**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

**Surinder Sachar**  
**Registration No. 34,423**



**22850**

  
 SIGNATURE

**Gregory J. Maier**  
 NAME

**25,599**  
 REGISTRATION NUMBER

March 28 2002  
 DATE

DOCKET NO.: 220806US6PCT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Yasuo OSADA, et al.

SERIAL NO.: NEW U.S. PCT APPLICATION

FILED: HEREWITH

INTERNATIONAL APPLICATION NO.: PCT/JP01/06606

INTERNATIONAL FILING DATE: July 31, 2001

FOR: OPTICAL PICKUP DEVICE AND RECORDING AND/OR REPRODUCING DEVICE

**REQUEST FOR PRIORITY UNDER 35 U.S.C. 119  
AND THE INTERNATIONAL CONVENTION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

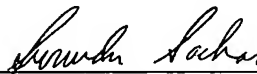
Sir:

In the matter of the above-identified application for patent, notice is hereby given that the applicant claims as priority:

| <u>COUNTRY</u> | <u>APPLICATION NO</u> | <u>DAY/MONTH/YEAR</u> |
|----------------|-----------------------|-----------------------|
| Japan          | 2000-232466           | 31 July 2000          |

Certified copies of the corresponding Convention application(s) were submitted to the International Bureau in PCT Application No. PCT/JP01/06606. Receipt of the certified copy(s) by the International Bureau in a timely manner under PCT Rule 17.1(a) has been acknowledged as evidenced by the attached PCT/IB/304.

Respectfully submitted,  
OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



Gregory J. Maier  
Attorney of Record  
Registration No. 25,599  
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